

FORM PTO-1390  
(REV 12-29-99)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

41114

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/719009

INTERNATIONAL APPLICATION NO.  
PCT/EP99/03862INTERNATIONAL FILING DATE  
June 4, 1999PRIORITY DATE CLAIMED  
June 12, 1998TITLE OF INVENTION  
DEVICE FOR PRODUCING A RIVETED JOINT AND CORRESPONDING RIVETAPPLICANT(S) FOR DO/EO/US  
SVEN ROTHE; KLAUS WIRTH

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.

16. ☒ Other items or information:

Translation of Preliminary Examination Report

Applicant claims small entity status.

BEST AVAILABLE COPY

|  |  |  |  |  |  |
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| U.S. APPLICATION NO. (if known) sec 37 CFR 1.53<br><b>09/71700</b> |  | INTERNATIONAL APPLICATION NO.<br><b>PCT/EP99/03862</b> |  | ATTORNEY'S DOCKET NUMBER<br><b>41114</b> |  |
|--|--|--|--|--|--|

| 17. <input checked="" type="checkbox"/> The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b><br>Neither international preliminary examination fee (37 CFR 1.482)<br>nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO<br>and International Search Report not prepared by the EPO or JPO ..... <b>\$1,000.00</b><br>International preliminary examination fee (37 CFR 1.482) not paid to<br>USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b><br>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but<br>international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b><br>International preliminary examination fee paid to USPTO (37 CFR 1.482)<br>but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b><br>International preliminary examination fee paid to USPTO (37 CFR 1.482)<br>and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b><br><div style="text-align: right;"><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b></div> | <b>CALCULATIONS PTO USE ONLY</b>  |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
|---|---|--------------|--------------|------|--------------|----------|---|-----------|--------------------|---------|---|-----------|---|--|--|------------|---|--|
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(e)).   | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">CLAIMS</th> <th style="width: 15%;">NUMBER FILED</th> <th style="width: 15%;">NUMBER EXTRA</th> <th style="width: 15%;">RATE</th> </tr> <tr> <td>Total claims</td> <td>9 - 20 =</td> <td>0</td> <td>X \$18.00</td> </tr> <tr> <td>Independent claims</td> <td>2 - 3 =</td> <td>0</td> <td>X \$80.00</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$270.00</td> </tr> </table>   | CLAIMS  | NUMBER FILED | NUMBER EXTRA | RATE | Total claims | 9 - 20 = | 0 | X \$18.00 | Independent claims | 2 - 3 = | 0 | X \$80.00 | MULTIPLE DEPENDENT CLAIM(S) (if applicable) |  |  | + \$270.00 | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> |  |
| CLAIMS  | NUMBER FILED  | NUMBER EXTRA | RATE         |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| Total claims  | 9 - 20 =  | 0            | X \$18.00    |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| Independent claims  | 2 - 3 =   | 0            | X \$80.00    |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |   |              | + \$270.00   |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  | \$ 860.00   |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| Reduction of 1/2 for filing by small entity, if applicable.   | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| <b>SUBTOTAL =</b>   | \$  |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30<br>months from the earliest claimed priority date (37 CFR 1.492(f)).  | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| <b>TOTAL NATIONAL FEE =</b>   | \$ 430.00   |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be<br>accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property  | <div style="border: 1px solid black; height: 40px; width: 100%;"></div> |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
| <b>TOTAL FEES ENCLOSED =</b>  | \$ 470.00   |              |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
|   | Amount to be<br>refunded:   | \$           |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |
|   | charged:  | \$           |              |      |              |          |   |           |                    |         |   |           |   |  |  |            |   |  |

a. ☒ A check in the amount of \$ 470.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 18-2220. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**


SEND ALL CORRESPONDENCE TO:

Roylance, Abrams, Berdo & Goodman, L.L.P.

1300 19th Street, N.W., Suite 600

Washington, D.C. 20036

(202) 659-9076

  
 SIGNATURE:  
 Mark S. Bicks  


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 NAME  
 28,770  

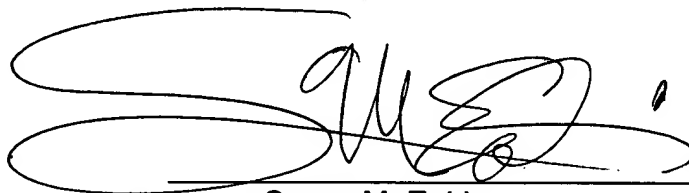

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 REGISTRATION NUMBER

**CERTIFICATION OF TRANSLATION**

I, Susan M. Eakins, of Alexandria, Virginia, do hereby certify that I am an experienced and professional translator of German into English and that the attached English language translation of the German language patent specification titled VORRICHTUNG ZUR HERSTELLUNG EINER NIETVERBINDUNG AND ZUGEHOERIGER NIET, to Applicant WIRTH MASCHINENBAU GMBH et al., is a true and correct translation of the German language document taken in its sense as an entirety attached thereto.

I do hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of any United States Trademark or Patent Application pertinent thereto.



Susan M. Eakins

Date: November 18, 2000